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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.	
09/824,305	04/02/2001	Umesh Mahajan	G08.055 9391		
	7590 01/09/2008 ASCHOFF & TALWALKA	EXAMINER			
50 LOCUST AVENUE			GREIMEL, JOCELYN		
NEW CANAAN, CT 06840			ART UNIT	PAPER NUMBER	
			3693		
			MAIL DATE	DELIVERY MODE	
			01/09/2008	PAPER	

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

		Application	n No.	Applicant(s)		
Office Action Summary		09/824,30	95	MAHAJAN ET AL.		
		Examiner		Art Unit	<u> </u>	
		Jocelyn G	reimel	3693		
Period fo	The MAILING DATE of this communicati r Reply	on appears on the	cover sheet with the	correspondence add	lress	
A SHO WHIC - Exter after - If NO - Failur Any r	ORTENED STATUTORY PERIOD FOR CHEVER IS LONGER, FROM THE MAILING IS IN THE MAILING IS IN THE MAILING IS IN THE MAY IN THE MAILING IS IN THE MAY IN THE MAILING IS IN THE MAY IN T	ING DATE OF TH CFR 1.136(a). In no evention. y period will apply and will by statute, cause the apple	IIS COMMUNICATION Int, however, may a reply be the service of the	N. mely filed the mailing date of this core ED (35 U.S.C. § 133).	•	
Status						
2a) <u></u> □	Responsive to communication(s) filed on This action is FINAL . 2b) Since this application is in condition for a closed in accordance with the practice up	☑ This action is n allowance except	on-final. for formal matters, pro		merits is	
Dispositi	on of Claims					
5) □ 6) ⊠ 7) □ 8) □ Applicati	Claim(s) 8,20,26,28-30,32 and 33 is/are 4a) Of the above claim(s) is/are w Claim(s) is/are allowed. Claim(s) 8, 20, 26, 28-30 and 32-33 is/a Claim(s) is/are objected to. Claim(s) are subject to restriction on Papers The specification is objected to by the Ex	rithdrawn from con are rejected and/or election re caminer.	nsideration. equirement.	Evominor		
,	The drawing(s) filed on is/are: a)[Applicant may not request that any objection Replacement drawing sheet(s) including the The oath or declaration is objected to by	to the drawing(s) b correction is require	e held in abeyance. Se ed if the drawing(s) is ob	e 37 CFR 1.85(a). pjected to. See 37 CF		
Priority u	inder 35 U.S.C. § 119					
 12) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f). a) All b) Some * c) None of: 1. Certified copies of the priority documents have been received. 2. Certified copies of the priority documents have been received in Application No. 3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)). * See the attached detailed Office action for a list of the certified copies not received. 						
2) Notice	t(s) e of References Cited (PTO-892) e of Draftsperson's Patent Drawing Review (PTO-9 nation Disclosure Statement(s) (PTO/SB/08) r No(s)/Mail Date	948)	4) Interview Summary Paper No(s)/Mail D 5) Notice of Informal I 6) Other:)ate		

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DETAILED ACTION

A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 15 November 2007 has been entered.

Status of Claims

Claims 8, 20, 26, 28-30 and 32-33 are currently pending. Claims 1-7, 9-19, 21-25, 27 and 31 have been cancelled. Claims 1 and 20 are independent claims.

Claim Rejections - 35 USC § 112

1. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

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- 2. Claim 8 recites the limitation: "at least one intermediate component layer for supplying information to the workspace and transferring information from the interface."

 There is insufficient antecedent basis for "the interface" in the claim. Appropriate correction is required.
- 3. Claim 20 recites the limitation: "supplying information to the interface and transferring information from the interface through at least one intermediate component layer." There is insufficient antecedent basis for "the interface" in the claim. Appropriate correction is required.

Claim Rejections - 35 USC § 102

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless -

- (b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.
- 5. Claims 8, 20, 26, 28-30 and 32-33 are rejected under 35 U.S.C. 102(b) as being anticipated by Buist (U.S. Patent No. 6,408,282 B1).

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- 6. In reference to claims 8 and 20, Buist discloses a method and apparatus for executing and processing financial instrument transactions comprising:
 - a. displaying a presentation layer further comprising a workspace (workstation connected to network (Internet));
 - b. supplying information to the interface and transferring information from the interface through at least one intermediate component layer (*broker/dealer server, replica database*);
 - c. supplying information to said intermediate component layer and transferring information from said intermediate component layer through at least one information source layer; wherein said workspace further comprises at least one sub interface, which sub interface is selected from the group comprising an order entry interface, an order modification interface, an order monitoring interface, an instrument monitoring interface, and a market monitoring interface (master trade screen display);
 - d. wherein said intermediate component layer is comprised of a plurality of intermediate components selected from a predetermined group of intermediate components,
 - e. wherein said selection occurs at least in part based upon the sub interface or sub interfaces chosen; said intermediate components of which said intermediate component layer is comprised including:
 - i. (a) a first intermediate component that provides a cache for information concerning financial instruments; and

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- ii. (b) a second intermediate component that stores user preferences for the workspace;
 - (1) wherein said user preferences stored in said second intermediate component include at least one of: (i) a workspace layout; (ii) a color scheme; and (iii) a type and form of information to be displayed ("the system stores the user's preferences on the replica server database..." which includes the user's watch list (which is a type and form of information to be displayed)). {please see at least col. 1-3, 6-8, 11-12, 17-18 and 24).
- 7. In reference to claims 26, 28-30 and 32-33, Buist discloses a method and apparatus for executing and processing financial instrument transactions at detailed above and additionally comprising:
 - f. wherein said sub interface further comprises a window (at least col. 7);
 - g. wherein said workspace is user configurable (col. 8, line 48+; The servers interact with the user workstations and store information relating to the users' accounts and portfolios as well as other data. This information is updated. The function buttons can be used to customize the GUI.);
 - h. wherein said workspace has a default configuration (col. 11-12);
 - i. wherein said method further comprises the step of trading a financial instrument through said user interface (col. 2, line 60+; *The system and method... supports trading of securities over the Internet...*);

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j. wherein said step of trading financial instruments through said user interface further comprises trading said instrument through aggregate pricing of said instrument (col. 9, line 10 – col. 13, line 13; *The columns discuss the trading of securities and the pricing.*)

Conclusion

- 8. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure:
 - k. Baecker, 2001/0049649
 - I. Belzberg, 6,134,535.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jocelyn Greimel whose telephone number is (571) 272-3734. The examiner can normally be reached on Monday - Friday 8:30 AM - 4:30 PM EST.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Kramer can be reached on (571) 272-6783. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Status information for Patent Application Information Retrieval (PAIR) system. published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

> Jocelyn Greimel Examiner, Art Unit 3693 December 30, 2007

> > SUPERVISORY PATENT EXAMINER

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